



IAPD Report

STANLEY JAMES KATZ

CRD# 1165148

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

STANLEY JAMES KATZ (CRD# 1165148)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/20/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ONESEVEN	CRD# 283087	10/28/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **5** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	FORTUNE FINANCIAL SERVICES, INC.	42150	Dayton, OH	11/01/2021 - 12/31/2024
IA	ROSS, SINCLAIRE & ASSOCIATES, LLC	25440	CINCINNATI, OH	01/13/2016 - 12/06/2021
B	ROSS, SINCLAIRE & ASSOCIATES, LLC	25440	CINCINNATI, OH	01/13/2016 - 06/22/2020

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

Yes

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **5** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ONESEVEN**
Main Address: 24400 CHAGRIN BLVD.
SUITE 310
BEACHWOOD, OH 44122
Firm ID#: 283087

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	12/12/2022
IA	Kentucky	Investment Adviser Representative	Approved	02/08/2022
IA	Ohio	Investment Adviser Representative	Approved	10/28/2021
IA	South Carolina	Investment Adviser Representative	Approved	11/01/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	10/29/2021

Branch Office Locations

ONESEVEN
Daniel Island, SC

ONESEVEN
24400 CHAGRIN BLVD.
SUITE 310
BEACHWOOD, OH 44122

ONESEVEN
3033 Kettering Blvd.
Suite 326
Dayton, OH 45066



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	09/13/1999

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	02/24/1984
	General Securities Representative Examination (S7)	Series 7	08/20/1983

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/29/1993
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/22/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	11/01/2021 - 12/31/2024	FORTUNE FINANCIAL SERVICES, INC.	CRD# 42150	Dayton, OH
IA	01/13/2016 - 12/06/2021	ROSS, SINCLAIRE & ASSOCIATES, LLC	CRD# 25440	CINCINNATI, OH
B	01/13/2016 - 06/22/2020	ROSS, SINCLAIRE & ASSOCIATES, LLC	CRD# 25440	CINCINNATI, OH
IA	02/27/2012 - 01/14/2016	CLIENTFIRST FINANCIAL STRATEGIES, INC.	CRD# 152628	DAYTON, OH
B	03/05/2014 - 12/31/2015	WESTERN INTERNATIONAL SECURITIES, INC.	CRD# 39262	DAYTON, OH
B	12/21/2007 - 03/05/2014	ACCESS FINANCIAL GROUP, INC.	CRD# 33065	DAYTON, OH
IA	11/26/1999 - 03/31/2010	FIRST ALLIANCE ASSET MANAGEMENT INC	CRD# 109107	DAYTON, OH
B	01/15/2003 - 11/29/2007	ACCESS FINANCIAL GROUP, INC.	CRD# 33065	DAYTON, OH
B	04/14/1998 - 01/10/2003	ROUND HILL SECURITIES, INC.	CRD# 35223	ALAMO, CA
B	03/15/1994 - 04/02/1998	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	08/25/1983 - 03/16/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2021 - Present	Fortune Financial Services, Inc.	Registered Representative	Y	Monaca, PA, United States
10/2021 - Present	MGO ONE SEVEN LLC dba CLIENTFIRST FINANCIAL STRATEGIES, INC.	INVESTMENT ADVISER REP/FINANCIAL ADVISOR	Y	DAYTON, OH, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2016 - 12/2021	ROSS, SINCLAIRE & ASSOCIATES, LLC	1/2016 - 6/2020 REGISTERED REP; 1/2016 INVESTMENT ADVISER REP/FINANCIAL ADVISOR	Y	Cincinnati, OH, United States



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

- 1) 9/1983 Independent Licensed insurance Agent; Investment Related; Ohio; Annuities
- (2) 012005 The Dayton Foundation; Non - Investment Related; 40 N Main St, Ste 500, Dayton, OH 45423; Community Foundation; Marketing Committee Member; Approx. 2 hrs / quarter; Approx. 2 hrs/ quarter during trading hours; Attend the committee meeting and offer professional insight on how to approach TDF potential customers
- (3) 11/2021 Fortune Financial Services, Inc.; Broker Dealer; Investment Related; Registered Representative; 10 Approx. hrs / month; 10 Approx. hrs/month during trading hours; investment and account management.
- (4) 11/2021 DBA: Client First Financial Strategies Inc - IAR with RIA MGO One Seven LLC; 200 approx. hrs./month; investment and account management



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROUND HILL INVESTMENTS
Allegations:	CLIENT, ALLEGED THAT IN MAY 2000 BROKER SOLICITED CLIENT TO INVEST APPROX. \$100,000 FOR THE CLIENT'S COMPANY ACCOUNT, IN A CORPORATE BOND. CLIENT ALLEGED THE BOND INVESTMENT WAS INCONSISTANT WITH STATED INVESTMENT OBJECTIVES.
Product Type:	Debt - Corporate
Alleged Damages:	\$98,741.50

Customer Complaint Information

Date Complaint Received:	04/11/2006
Complaint Pending?	No
Status:	Settled
Status Date:	06/09/2006
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint:

PRUDENTIAL SECURITIES

Allegations:

APPROXIMATELY 40 CUSTOMERS ALLEGED VARIOUS LIMITED PARTNERSHIPS PURCHASES WERE, AMONG OTHER THINGS, UNSUITABLE IN LIGHT OF THEIR (VERBALLY) STATED INVESTMENT OBJECTIVES, ALTHOUGH ALLEGED OBJECTIVES FOR THE MOST PART NOT SUPPORTED BY THE DOCUMENTATION.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

National Association of Securities Dealers, Inc.; 93-02613

Date Notice/Process Served:

08/01/1993

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

05/15/1994

Monetary Compensation Amount:

\$346,336.82

Individual Contribution Amount:

Firm Statement

SETTLEMENT, WITH THE FIRM AGREEING TO PAY A LUMP SUM, OF \$346,336.82
Not Provided

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

PRUDENTIAL SECURITIES

Allegations:

APPROXIMATELY 40 CUSTOMERS ALLEGED VARIOUS LIMITED PARTNERSHIP PURCHASES WERE, AMONG OTHER THINGS, UNSUITABLE IN LIGHT OF THEIR (VERABALLY) STATED INVESTMENT OBJECTIVES, ALTHOUGH THE ALLEGED OBJECTIVES FOR THE MOST PART WERE NOT SUPPORTED BY THE DOCUMENTATION.

Product Type:

No Product



Other Product Type(s): LIMITED PARTNERSHIP

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 08/01/1993

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/15/1994

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 93-02613

Date Notice/Process Served: 08/01/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/15/1994

Monetary Compensation Amount: \$346,336.82

Individual Contribution Amount: \$0.00

Broker Statement SETTLEMENT WITH THE FIRM AGREEING TO PAY A LUMP SUM OF \$346,336.82. THE CLAIMS WERE AGAINST PRUDENTIAL SECURITIES NOT AGAINST STANLEY J. KATZ (BROKER) GROUP ARBITRATION FILED BY PAGE AND BACEK WERE CONCLUSIVE THAT PRUDENTIAL SECURITIES CAUSED THE PROBLEM. IF I WERE AT FAULT, WHY ARE THE CUSTOMERS STILL WITH ME?



End of Report

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